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Jc917 U.S. PTO
10/06/00
09/680771

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS
Box Patent Application
Washington, D.C. 20231

Attorney Docket No. 3499-86
Prior Application Number: 60/180,076
U.S. Serial No. 09/413,270
U.S. Serial No.: 09/413,150

Sir:

Transmitted herewith for filing is a utility patent application of:

Andrew F. Silverman, Matthew Lavicka and David W. Ngai

For: **ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR COMMUNICATIONS
WITH HANDHELD TRADING UNITS**

ENCLOSED are the following:

1. Specification, abstract and claims of 49 pages.
2. ☒ 11 sheets of ☐ formal ☒ informal drawings ☐ No drawings.
3. ☐ Declaration signed by the named inventor(s).
☐ Newly executed (original or copy)
☐ Copy from a prior application (for continuation/divisional)
4. ☐ Preliminary Amendment
5. ☐ Information Disclosure Statement
6. ☒ Other: Return receipt postcard

NOTE the following:

7. ☐ Applicant is a small entity, which was established in parent application Serial No. <<TEXT>> and such status is still proper and desired.
8. ☐ The prior application is assigned to (Recordation cover sheet and accompanying papers)
9. This application is a:
☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of Prior Application _____

Filed: _____

09680771-100600

10. ☒ Priority of the following application(s) is (are) claimed under 35 U.S.C. 119:

Serial No.	Date Filed	Country	<u>Certified Copy of Priority Doc. Filed</u>	
			USSN or PCT#	Date
60/157,987	October 6, 1999	US		
09/413,270	October 6, 1999	US		
09/413,150	October 6, 1999	US		

11. ☐ An Extension of Time is filed concurrently herewith for the parent application.

12. ☐ Cancel claims _____ prior to calculation of the filing fee.

FILING FEE: calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

<input checked="" type="checkbox"/>	Total Claims	6	Total Claims Subject to Fees:	
<input checked="" type="checkbox"/>	Independent Claims	6	Total Claims Subject to Fees: 3	\$240.00
<input type="checkbox"/>	Multiple Dependent Claims			\$
<input checked="" type="checkbox"/>	Basic Filing Fee			\$710.00
<input type="checkbox"/>	Extension Fees			\$
	Sub-Total			\$950.00
<input type="checkbox"/>	Less Small Entity Fee Reduction			\$
<input type="checkbox"/>	Assignment Recordal Fees			
	Total Fees			\$950.00

☒ A check in the amount of _____ is enclosed (must at least cover the basic fee). If no check or an insufficient check is enclosed and a fee is due herewith, the Commissioner is authorized to charge any fee or additional fee due in connection herewith to Deposit Account No. 50-0521. A duplicate of this sheet is enclosed.



In the event that a petition for extension of time is required to be submitted in the pending prior application, and in the event that a separate petition for the pending prior application is not filed on even date, applicant hereby petitions under 37 C.F.R.1.136(a) for an extension of time in the pending prior application of as many months as are required to render this submission timely. The Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 50-0521. A duplicate copy of this sheet is enclosed.

Respectfully submitted,



Date:

Oct 6, 2000

By: Joseph P. Kincart
Registration No.: 43,716

Clifford Chance Rogers & Wells LLP 200 Park Avenue New York, NY 10166

009007-1-109960